



## UNITED STATES PATENT AND TRADEMARK OFFICE

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U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/889380	NAKAMURA	M 450106-02849
INTERNATIONAL APPLICATION NO.		
PCT/JP00/08112		
I.A. FILING DATE		PRIORITY DATE
17 NOV 00		17 NOV 99
DATE MAILED: 28 AUG 2001		

WILLIAM S FROMMER  
FROMMER LAWRENCE & HAUG  
745 FIFTH A VENE  
NEW YORK, NY 10151

## NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as ☒ a Designated Office (37 CFR 1.494) ☐ an Elected Office (37 CFR 1.495):
- |   |  |
|---|--|
| <input checked="" type="checkbox"/> U.S. Basic National Fee.  | <input type="checkbox"/> Indication of Small Entity Status.                                    |
| <input checked="" type="checkbox"/> Copy of the international application.  | <input checked="" type="checkbox"/> Translation of the international application into English. |
| <input type="checkbox"/> Oath or Declaration of inventor(s).  | <input type="checkbox"/> Translation of Article 19 amendments into English.                    |
| <input type="checkbox"/> Copy of Article 19 amendments.   | <input type="checkbox"/> Other:  |
| <input checked="" type="checkbox"/> Priority Document.  |  |
| <input type="checkbox"/> The International Preliminary Examination Report in English and its Annexes, if any.     |  |
| <input type="checkbox"/> Translation of Annexes to the International Preliminary Examination Report into English. |  |
2. ☐ Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items and/or the indicated items in paragraph 3 below. The Basic National Fee and the copy of the international application must be filed prior to 20 or 30 months from the priority date to avoid abandonment.
- |   |   |
|---|---|
| <input type="checkbox"/> U.S. Basic National Fee. | <input type="checkbox"/> Copy of the international application. |
|---|---|
3. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:
- ☐ a. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- ☒ b. The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
- ☒ c. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
- ☒ d. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- ☐ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
- ☒ e. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).
4. Additional claim fees of \$ \_\_\_\_\_ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.
5. ☐ Applicant has not submitted the required sequence listing pursuant to 37 CFR 1.821-1.825. See attached PCT/DO/EO/920.

**ALL OF THE ITEMS SET FORTH IN 3(a)-(d), 4 AND 5 ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 22 OR 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

6. If box 3a or 3c is checked, a translation of the Annexes **MUST** be submitted no later than the time period set above or the Annexes will be cancelled. A processing fee will be required if submitted later than 20 or 30 months from the priority date.
7. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

**A copy of this notice MUST be returned with this response.**

Enclosed: ☐ PCT/DO/EO/917 ☒ Notice of Defective Translation  
☐ PTO-875 ☐ PCT/DO/EO/920  
Pautette Kidwell, Paralegal  
Telephone: 703-305-3656

FORM PCT/DO/EO/905 (March 2001)

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2001 AUG 31 A 10:47  
FROMMER, LAWRENCE  
& HAUG, LLP



UNITED STATES DEPARTMENT OF COMMERCE  
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Box PCT  
Washington, D.C. 20231

U.S. APPLICATION NO.

09/889380

ATTACHMENT TO FORM PCT/DO/EO

### NOTICE OF DEFECTIVE TRANSLATION

The received translation is defective because:

- ☐ (1) The text in the drawings has not been properly translated;
- ☒ (2) The number of claims in the International Application and the number of claims in the translation are not the same;
- ☐ (3) The translation of the International Application is incomplete as a number of pages are missing;
- ☒ (4) Other.

THE TOTAL NUMBER OF CLAIMS IN THE TRANSLATION IS 12 AND THE TOTAL NUMBER OF CLAIMS IN THE INTERNATIONAL APPLICATION IS 24

DOCKETED

Paulette Kidwell, Paralegal

Telephone: 703-305-3656

FORM PCT/DO/EO/913 (September 1996)

Express Mail label No. 161, 2001 EL817166371US

Serial No. \_\_\_\_\_ File No. 150106-02849 By Losc/dds  
Title In the Matter of the Application of Digital Signal Processing Apparatus  
The following due 7/17/01 in the U.S. Patent Office, was received in the Patent Office  
☐ Affidavit ☐ Declaration ☒ Express Mail Mailing Certificate  
☐ Amendment ☒ (separate sheet)  
☐ Preliminary Amendment ☒ Check No. 16605 for \$ 932<sup>00</sup>  
☐ Amendment After Final Rejection ☐ Deposit Account Order Form  
☐ Request for Extension of Time ☒ Drawing 14 Sheet(s)  
☐ Provisional Patent Application ☒ Information Disclosure Statement  
☒ Application for Patent, including ☒ PTO Form 1449, and refs  
31 Pages Specification 24 Claims ☐ Issue Fee Transmittal  
☒ Declaration ☐ Oath ☒ Power ☐ Brief ☐ Letter  
☐ Request for Filing Continuation or Divisional ☐ Application for TM Registration  
Application \_\_\_\_\_ sheets, in duplicate Including \_\_\_\_\_ Specimens  
☐ File Wrapper Continuation Patent Application ☐ Status Request ☐ Notice of Appeal  
\_\_\_\_\_ sheets, in duplicate ☐ Petition ☐ Response  
☐ PCT Request \_\_\_\_\_ sheets, including ☐ Priority Document  
☒ Transmittal Letter to the US/RO ☐ Small Entity Declaration  
☒ Assignment ☒ Recordation Cover Sheet ☒ PCT/RO/101, PCT/ISA/210

Check No. 16604 for \$40

Mailed July 16, 2001  
Express Mail label No. EL819166397US  
Serial No. \_\_\_\_\_ File No. 450106-02849 By Losc/dds  
Title In the Matter of the Application of Digital Signal Processing Apparatus  
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☐ Request for Extension of Time ☒ Drawing 14 Sheet(s)  
☐ Provisional Patent Application ☒ Information Disclosure Statement  
☒ Application for Patent, including ☒ PTO Form 1449, and refs  
31 Pages Specification 24 Claims ☐ Issue Fee Transmittal  
☒ Declaration ☐ Oath ☒ Power ☐ Brief ☐ Letter  
☐ Request for Filing Continuation or Divisional ☐ Application for TM Registration  
Application \_\_\_\_\_ sheets, in duplicate Including \_\_\_\_\_ Specimens  
☐ File Wrapper Continuation Patent Application ☐ Status Request ☐ Notice of Appeal  
\_\_\_\_\_ sheets, in duplicate ☐ Petition ☐ Response  
☐ PCT Request \_\_\_\_\_ sheets, including ☐ Priority Document  
☒ Transmittal Letter to the US/RO ☐ Small Entity Declaration  
☒ Assignment ☒ Recordation Cover Sheet ☒ PCT/RO/101, PCT/ISA/210  
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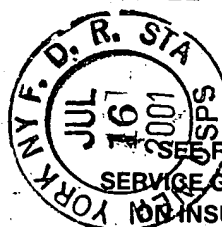
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FROM: (PLEASE PRINT) 212 588 0800 William S. Frommer, Esq. FROMMER LAWRENCE & HAUG LLP 745 5TH AVE FL 10 NEW YORK NY 10151-1000 wsfdds 450106-02849		TO: (PLEASE PRINT) Assistant Commissioner for Patents Box PCT Washington, D.C. 20231	



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## DETACH AND RETAIN THIS STATEMENT

THE ATTACHED CHECK IS IN PAYMENT OF ITEMS DESCRIBED BELOW.  
IF NOT CORRECT PLEASE NOTIFY US PROMPTLY. NO RECEIPT DESIRED.

APPLICANT

NAK Amara, et al.

SERIAL NO.

FL &amp; H DOCKET NO.

450106-02849

TITLE

Digital Signal Processing Apparatus and Method

- ☐ APPEAL BRIEF  
☐ APPEAL FEE  
☐ CERTIFICATE OF CORRECTION  
☐ DISCLAIMER  
☐ EXTENSION OF TIME  
☐ FEE FOR ADDED CLAIMS  
☐ FILING FEE  
☐ ISSUE FEE  
☐ MAINTENANCE FEE  
☐ MISSING PARTS  
☐ NOTICE OF OPPOSITION

- ☐ PETITION FEE  
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